PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0851-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Unger the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substituti AN Com 1449/PTO

Sheet

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known				
Application Number	09/836,694			
Filing Date	April 17, 2001			
First Named Inventor	Kam, Kendrick W.			
Art Unit	3624			
Examiner Name	Weisberger			
Attorney Docket Number	26592-004 REG US			

			U. S. PATENT	DOCUMENTS	
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ^{2 (F traver)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
AB		^{US-} 5,262,942	11-16-1993	Dennis M. Earle	throughout
		US-			
		US-			A
	1	US-			7
		US-			
		US-			sh of the
		US-			
		US-			الم و الم
		US-			10 0 C
<u> </u>		US-			2
		US-			0'
		US-			9
		US-			
·		US-			
		US-			

	FOREIGN PATENT DOCUMENTS					
Examiner Cite Foreign Pa		Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	To
_						
						
<u> </u>	 					

Examiner Signature	/Abdul Basit/	Date Considered	12/26/2006

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

	Complete if Known	
Application Number	09/836,694	70
Filing Dat	April 17, 2001) % (
First Named Inventor Kam, Kendrick W.		201
Art Unit	3624	5 20
Examiner Name	Weisberger	13 8
Attomey Docket Number	26592-004 REG US	6
	Application Number Filing Dat First Named Inventor Art Unit Examiner Name	Filing Dat April 17, 2001 First Named Inventor Kam, Kendrick W. Art Unit Sacration State St

		NON PATENT LITERATURE DOCUMENTS	٧.
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
AB		DENNIS, SYLVIA, "UK - Web-Based Virtual Stock Market Game A Success", Newsbytes (July 17, 1997), Wakefield, Yorkshire, England.	
AB		"Software Introductions", Microbanker, vol. 15, no. 3 (March 1995), United States	
AB		HIGGINS, J. M., "Janus Capital's John Schreiber", Broadcasting and Cable, vol. 128 no. 34 (August 17, 1998), p. 56, United States	
	·		
	·		
			
		······································	

		المستنصد والناداة وويوني ويهيوني	
Examiner	/21-3-2 Deed-/	Date .	01/05/2007
Signature	/Abdul Basit/	Considered	01/03/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

SHEET 1 OF 1

·		· · · · · · · · · · · · · · · · · · ·		,				OIFE	
Form PTO 1449 (Modified)	1449 PATENT AND TRADEMARK OFFICE			ATTY. DOCKET NO. (1) 26592-004REG US			SERIAL NO/ (1) 09/836,694		
LISTOS	: DECE	EDENCES CITED BY ADD	LICANT	APPLICANT				53	
UST OF REFERENCES CITED BY APPLICANT (Use Several Sheets if Necessary)		FILING C	k W. Kam, et al. DATE		GROUP	- 13°			
		(1) April			(1) Not	Yet Assigned			
EXAMINER INITIAL		DOCUMENT NUMBER	DATE.		NAME CLASS		SUB CLASS	FILING DATE IF APPROPRIATE	
AB	Α	5,761,442	6/1998	Barr, et a	al	395	236	8/1994	
AB	B,	5,784,696	7/1998	Melnikof	if	705	36	6/1995	
АВ	O	5,799,287	8/1998	Dembo		705	36	5/1997	
AB	D	5,819,237	10/1998	Garman	•	705	36	2/1996	
AB	E.	5,911,135	6/1999	Atkins		705	36	4/1991	
AB	F	5,987,433	11/1999	Crapo		705	36	6/1996	
								•	
			•		·				
					· · · · · · · · · · · · · · · · · · ·	·			
·								-	
					•			_	
· · · · · · · · · · · · · · · · · · ·			•						
								•	
		_					:		
	- 1								
		·			:	!		<u> </u>	
<u>.</u>		OTHER REFEREN	iCEC (Includi	ing Author	Title Date Destin	nost Bagas			
		OTHER REFEREN	CES (INCIUA		, riue, Dale, Perur	rem Pages	, E.C.)		
	 :	,		··				•	
			····						
					<u> </u>			· ·	
L				- ; - r					
XAMINER		/Abdul Basit/			DATE CONSIDER	RED	12/26/	2006	

138448 v01.PA (2yss01!.DOC) (#138448 v1 - Form 1449 - 26592-004REG US)

PTO/SB/08A (04-03)
Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperworld Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB copin number.

Substitute for took 1449/PTO

Sheet

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Col	mpiete ir Known
Application Number	09/836,694
Filing Date	April 17, 2001
First Named Inventor	Kendrick W. Kar
Art Unit	3624
Examiner Name	Weisberger
Attorney Docket Number	26592-004 REG US

			U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.1	Document Number Number-Kind Code ^{2 (F Incom)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Wake Relevant Passages or Relevant Figures Appear			
AB	A	US- 5,873,071	2-16-1999	Ferstenberg, Robert	Throughout			
		US-						
		US-						
•		US-						
	 	US-						
		US-						
		US-						
		US-						
_		US-						
		US-						
	 	US-						
<u> </u>		US-						
·		US-						
	 	US-						
		US-			·			
	 	US-		<u> </u>				
<u>-</u>		US-						
	<u> </u>	US-	- 					
		US-						

FOREIGN PATENT DOCUMENTS						
Examiner Cite Initiats* No.1		Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
<u></u>		Country Code ³ "Number ⁴ "Kind Code ³ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	T
	ļ			·		
						┢
						L

Examiner		Date	10/06/0006
Signature	/Abdul Basit/	Considered	12/26/2006

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered, include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PTO/SB/08A (08-03)

Approved for use through 07/31/2008. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE ct of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Sheet

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

of 1

(Use as many sheets as necessary)

Complete if Known			
Application Number	09/836,694		
Filing Date	4/17/2001		
First Named Inventor	Kam et al.		
Art Unit	2161		
Examiner Name	Weisberger, Richard		
Attorney Docket Number	26592-004US		

Examiner	Cite	Document Number	U. S. PATENT DOCUMENTS			
Initials*	No.1	Number-Kind Code ^{2 (F known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
		US-			Figures Appear	
		US-	-			
		US-				
•		US-				
		US-	+			
		US-				
		US-				
		US-	 			
		US-				
		US-	 			
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-		•		
		US-				
		US-				

Examiner	Cite	Foreign Patent Document	IGN PATENT DOCL			
Initials*	No.1	Country Code ³ Number ⁴ "Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pagas, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	Te
AB	f	WO 99/15950	04-01-1999	Ditmer et al.	throughout	<u> </u>
	· ·			·		

Examiner			
Signature	/Abdul Basit/	Date	10/06/0006
PEVALUNES.		Considered	12/26/2006

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. *Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.